

PTO/SB/05 (1/98)

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.63(b))

Attorney Docket No. 2915.1US (96-149.01)

First Inventor or Application Identifier Pan, et al.

Title Technique for Elimination of Pitting on Silicon Substrate During Gate Stack Etch

Express Mail Label No. EMS48957369US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. *Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. Specification [Total Pages 16]
(preferred arrangement set forth below)
- Descriptive Title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. Drawing(s) (35 U.S.C. 113) [Total Sheets 14]
4. Oath or Declaration [Total Pages 2]
- B. Newly executed (original or copy)
- b. Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 17 completed)
(Note Box 5 below)
- I. DELETION OF INVENTOR(S)
Signed statement attached deleting
Inventor(s) named in the prior application,
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
5. Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a
copy of the oath or declaration is supplied under Box 4b, is
considered to be part of the disclosure of the accompanying
application and is hereby incorporated by reference therein.

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

6. Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. Computer Readable Copy
- b. Paper Copy (identical to computer copy)
- c. Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. Assignment Papers (cover sheet & document(s))
9. 37 C.F.R. § 3.73(b) Statement
(when there is an assignee) Power of Attorney
10. English Translation Document (if applicable)
11. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
12. Preliminary Amendment
13. Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. Small Entity Statement(s) Status still proper and desired
(PTO/SB/08-12)
15. Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. Other:

*A new statement is required to be entitled to pay small entity fees, except
where one has been filed in a prior application and is being relied upon.

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

 Continuation Divisional Continuation-in-part (CIP)

of prior application No. 08,682,935

Prior application information: Examiner H. Nguyen

Group/Art Unit: 2812

18. CORRESPONDENCE ADDRESS

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Signature		Date	5/6/98

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DEVIN R. JENSEN
REGISTERED PATENT ATTORNEY

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MAY 16 2000

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FACSIMILE TRANSMITTAL SHEET

Total number of pages including cover letter: 10

To: USPTO Date: May 16, 2000

Attn: Examiner Hung K. Vu
Washington, D.C.

Facsimile No.: 1-703-308-7722 or
1-703-308-7724

Telephone No.: 1-703-308-4079

From: Devin R. Jensen

Your Reference: Serial No. 09/073,494

Client/matter number: 2269-2915.1US (96-149.1)

Message/Comments:

Faxed by _____ Date _____ Time _____

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PATENT
Attorney Docket No. 2915.1US(96-149.I)

I hereby certify that this transmittal is being transmitted by facsimile to the Assistant Commissioner for Patents (Examiner Hung K. Vu) (Fax No. (703)308-7722) on the date shown below.

Lynette Ellison
Typed name of person mailing transmittal

May 16, 2000
Date of Deposit


Signature of person mailing transmittal

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Examiner: H. Vu
Applicant(s): Pan et al.
Serial No.: 09/073,494

Group Art Unit No.: 2811
Filing date: May 6, 1998
Pat. title: TECHNIQUE FOR ELIMINATION OF PITTING ON SILICON SUBSTRATE DURING GATE STACK ETCH

COMMUNICATION TRANSMITTAL

Box A.F
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Enclosed for filing in connection with the above-identified patent application, and submitted in the order listed, are:

- Postcard receipt acknowledgment (attached to the front of this transmittal).
- Duplicate copy of this transmittal sheet in the event that additional filing fees are required under 37 C.F.R. § 1.16. Any such fees may be charged to deposit account no. 20-1469.
- Check no. in the amount of \$ for the presentation of extra claims as calculated in the remarks section below.
- Preliminary amendment.
- Amendment or other communication in response to the non-final office action mailed.
- Amendment or other communication under 37 C.F.R. § 1.116 in response to the final office action mailed 03/14/00.
- Notice for Extension of Time in duplicate with check no. in the amount of \$.
- Verified statement(s) to establish small entity status under 37 C.F.R. § 1.9 and 37 C.F.R. § 1.27 signed by (or on behalf of).
- Information disclosure statement and information disclosure obligation form PTO-1449 with copies of listed documents.
-
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Remarks:

- An amendment has been made involving one or more claims in the application. The calculation to determine whether any additional fee is due is presented below.

1	2	3	\$EXTRA
Total claims	=	x 18.00 =	
Indep. claims	=	x 78.00 =	
First presentation of a multiple dep. claim (+260.00)			
SUBTOTAL			
Reduction for small entity - 30% of subtotal*			
TOTAL ADDITIONAL FEE (subtotal minus any reduction)			

*Verified statement(s) must be attached to support this reduction if small entity status has not been previously established.

1 Claims remaining after amendment.

2 Highest number of claims previously paid for. Not less than 20 for total claims and 3 for independent claims.

3 Difference between claims remaining and highest number previously paid for. If less than zero, enter "0."

- The commissioner is authorized to charge any additional fees required but not submitted with any document or request requiring fee payment under 37 C.F.R. §§ 1.16 and 1.17 to deposit account no. 20-1469 during the entire pendency of this application.

Respectfully submitted,



Devil R. Jensen
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Date: May 16, 2000

Enclosures: As identified above

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MAY 16 2000

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PATENT**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE****In re Application of:**

Pan et al.

Serial No.: 09/073,494**Filed: May 6, 1998****For: TECHNIQUE FOR ELIMINATION OF
PITTING ON SILICON SUBSTRATE
DURING GATE STACK ETCH****Examiner: H. Vu****Group Art Unit: 2811****Attorney Docket No.: 2915.IUS (96-149.1)****FAX COPY RECEIVED****MAY 16 2000****TECHNOLOGY CENTER 2800 (28)****CERTIFICATE OF TRANSMISSION**

I hereby certify that this correspondence is being facsimile transmitted to the Assistant Commissioner for Patents (Fax No. (703) 305-2222) on the date shown below.

5-16-2000**DATE**

Lynette Ellison
Signature of registered practitioner or other person
having reasonable basis to expect transmission to
occur on date shown pursuant to 37 C.F.R. §
1.8(a)(1)(ii)

SP22/00
Typed/printed name of person whose signature is
contained above

AMENDMENT UNDER 37 C.F.R. §1.116**Box AF****Assistant Commissioner for Patents
Washington, D.C. 20231****Sir:**

The following amendments and remarks are filed in response to the Examiner's remarks in the Final Office Action mailed March 14, 2000, the three-month shortened statutory period for response to which expires on June 14, 2000.

IN THE SPECIFICATION

Page 2, before "BACKGROUND OF THE INVENTION" please add -- **CROSS**

REFERENCE TO RELATED APPLICATIONS This application is a divisional of application

Serial No. 08/682,935, filed July 16, 1996, --